

# **FCC AUCTIONS**

**Personal Communications Service  
(PCS)**

**Bidder's Information Package**

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**FCC AUCTION HIGHLIGHTS**  
**PERSONAL COMMUNICATIONS SERVICE (PCS) LICENSES**

**AUCTION**  
**of**  
**10 NATIONWIDE NARROWBAND PCS LICENSES**

**BEGINS July 25, 1994**

**OMNI SHOREHAM HOTEL - BLUE ROOM**  
**2500 CALVERT STREET, N.W.**  
**WASHINGTON, D.C. 20008**

<u>Registration:</u>	Sunday July 24, 1994	1:00 p.m. - 9:00 p.m.
	Monday July 25, 1994	8:00 a.m. - 9:30 a.m.

<u>Pre-Auction Videotape of PCS Seminar:</u>	Sunday July 24, 1994	7:00 p.m. - 10:00 p.m.
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<u>On-Line Electronic Bidding Demonstration:</u>	Monday July 25, 1994	8:00 a.m. - 9:30 a.m.
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Live Multiple Round  
Electronic Auction: Starts Monday, July 25, 1994, 10:00 a.m. EDT and  
continues daily thereafter beginning at 9:00 a.m. until  
simultaneous closing on all licenses.

Auction conducted by Tradewinds International, Inc., and  
Cantor Fitzgerald Brokerage, L.P.

**Bidder Eligibility Requirements**

**Review Bidder Package for complete details**

**Completed Short Form Application Deadline - Friday July 1, 1994 @ 5:30 p.m. EDT**

**Upfront Deposit Minimum of \$350,000 - Deadline July 11, 1994 @ 3:00 p.m. EDT**

**For Additional Information, Contact:**

**Tradewinds International, Inc. at (202) 637-FCC1 (3221)**



# FCC AUCTIONS

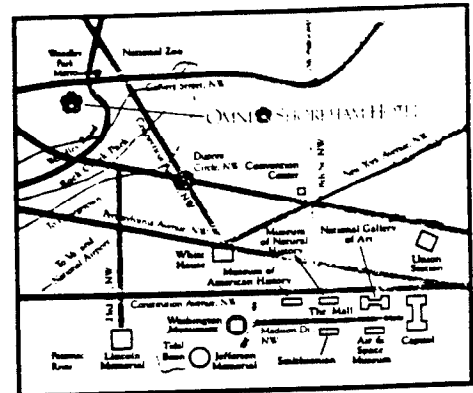
**Federal Communications Commission (FCC)  
Personal Communications Service (PCS)**

**&**

**Interactive Video Data Service (IVDS)**

**Auction Hotel Location**

**Auction Location:**    **Omni Shoreham Hotel**  
2500 Calvert Street, N. W.  
Washington, D.C. 20008



## **Directions:**

**From Dulles Airport:** (or RT 66 West, RT 50 West Fairfax County, VA etc.) Take the Dulles Access Road to RT 66. Travel East on RT 66, exit onto Constitution Avenue. Exit after crossing bridge into Washington, D.C. Travel East on Constitution Avenue until you reach 18th Street. Turn left on 18th Street. Proceed on 18th Street past M Street. Turn left onto Connecticut Avenue, passing over the Taft Street Bridge. Immediately after the bridge you will come to the intersection of Connecticut Avenue and Calvert Street. Turn left on Calvert Street. The Omni Shoreham Hotel will be in front of you.

**From National Airport:** (RT 395, Richmond, VA, etc.) Take exits which place you on the George Washington (GW) Parkway heading North to the 14th Street Bridge. Cross the 14th Street Bridge into Washington, D.C. Turn left onto K Street. Turn right onto Connecticut Avenue. Travel approximately 2.5 miles North on Connecticut Avenue, passing over the Taft Street Bridge. Immediately after the bridge you will come to the intersection of Connecticut Avenue and Calvert Street. Turn left on Calvert Street and the Omni Shoreham Hotel will be in front of you.

**From Baltimore-Washington International Airport:** Take the B-W Parkway South toward Washington (this parkway turns into New York Avenue). Take New York Avenue to Massachusetts Avenue and make a right turn onto Massachusetts Avenue. Take Massachusetts Avenue to Dupont Circle and make a right onto Connecticut Avenue. Take Connecticut Avenue (one mile over Taft Bridge) to Calvert Street. Make a left onto Calvert Street. The Omni Shoreham Hotel is on the left.

**On Metrorail:** Board the Red Line train going toward "Shady Grove". You will exit this train at the "Woodley Park" exit. Come up the escalator and down the steps (which open to 24th Street), turn left, and walk toward the traffic light. The Omni Shoreham Hotel will be across the street.



# FCC AUCTIONS

**Federal Communications Commission (FCC)**

**Personal Communications Service (PCS)**

**&**

**Interactive Video Data Service (IVDS)**

**Auction Hotel Accomodation Information**

## **Omni Shoreham Hotel**

**2500 Calvert Street, N.W.**

**Washington, D.C. 20008**

**Available until July 11, 1994**

**Single Occupancy \$115.00**

**Double Occupancy \$140.00**

**Reservations: 1-800-THE OMNI -or- (202) 234-0700**

## **The Washington Hilton**

**1919 Connecticut Avenue, N.W.**

**Washington, D.C. 20009**

**Special Room Rates, Subject to Availability**

**Single Occupancy \$105.00**

**Double Occupancy \$125.00**

**Reservations: (202) 797-5820**

## **Sheraton City Center**

**1143 New Hampshire Avenue, N.W.**

**Washington, D.C. 20037**

**Special Room Rates, Subject to Availability**

**Single Occupancy \$125.00**

**Double Occupancy \$145.00**

**Reservations: (800) 526-7495**

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Federal Communications Commission

Personal Communications Service Auction

Begins July 25, 1994

**BID PACKAGE**

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- 7) FCC Third Report and Order
- 8) High Bid Acknowledgment Form

Welcome



FEDERAL COMMUNICATIONS COMMISSION  
WASHINGTON

May 27, 1994

OFFICE OF  
THE CHAIRMAN

Dear Potential Bidder:

Thank you for expressing an interest in the FCC's auction of spectrum for narrowband Personal Communications Service (PCS). As you are aware, for the first time ever the FCC will be using an auction process to allow people to use the airwaves for new and creative businesses. You have the opportunity to participate in this history-making event.

I can't tell you what you should use this spectrum for and I can't tell you what you should pay to get it. That's all up to you.

I can tell you that I think one of the most exciting events in the history of our country begins with this auction. And your participation begins with this package of information.

Because this process is new, you may have a lot of questions. Please don't hesitate to contact Tradewinds International, Inc., our auction contractor on the auction hotline at (202) 637-FCC1 or send a fax to (202) 637-FCC2. We want all Americans to have the opportunity to participate in this effort as we create a new and dynamic market for PCS.

As I mentioned above, this July's auctions are just the beginning. We will complete the narrowband PCS and Interactive Video Data Service (IVDS) auctions later this year and then begin the auctions for broadband PCS. I hope you will also learn about these other opportunities and perhaps decide to participate in those auctions as well.

I am confident that the auction method of selecting licensees will put the spectrum in the hands of those PCS and IVDS operators who most highly value the spectrum and who have innovative ideas for its use. In addition, because of a comprehensive program of preferences for minorities, women and small businesses, the FCC is opening the door for these under-represented groups to become major players in the telecommunications industry. The prospect of enriching the face of our business with more diversity is one of the most exciting aspects of this process.

Again, thank you for your interest and for sharing our enthusiasm for the auction approach to allocating spectrum for the public good.

Sincerely yours,

A handwritten signature in black ink, appearing to be "Reed E. Hundt", is written over the "Sincerely yours," text.

Reed E. Hundt  
Chairman



# Summary of Licenses to be Auctioned

## SUMMARY OF LICENSES TO BE AUCTIONED

The following table lists by auction lot number, market number and frequency block number the 10 nationwide narrowband PCS licenses grouped by category of license. All ten licenses will be auctioned simultaneously:

Auction

Lot

No.   Market Number and Frequency Block

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Five 50 kHz channels, each paired with another 50 kHz channel:

- 1      Market No. N-1, Frequency Block No. 1: 940.00-940.05 and 901.00-901.05 MHz
- 2      Market No. N-2, Frequency Block No. 2: 940.05-940.10 and 901.05-901.10 MHz
- 3      Market No. N-3, Frequency Block No. 3: 940.10-940.15 and 901.10-901.15 MHz
- 4      Market No. N-4, Frequency Block No. 4: 940.15-940.20 and 901.15-901.20 MHz
- 5\*\*    Market No. N-5, Frequency Block No. 5: 940.20-940.25 and 901.20-901.25 MHz

Three 50 kHz channels, each paired with another 12.5 kHz channel:

- 6      Market No. N-6, Frequency Block No. 6: 930.40-930.45 and 901.7500-901.7625 MHz
- 7      Market No. N-7, Frequency Block No. 7: 930.45-930.50 and 901.7625-901.7750 MHz
- 8\*\*    Market No. N-8, Frequency Block No. 8: 930.50-930.55 and 901.7750-901.7875 MHz

Two 50 kHz unpaired channels:

- 9      Market No. N-10, Frequency Block No. 10: 940.80-940.85 MHz.
- 10\*\*   Market No. N-11, Frequency Block No. 11: 940.85-940.90 MHz

Please note that Market No. N-9, Frequency Block No. 9: 940.75-940.80 MHz will not be offered at the auction.

Businesses owned by women and/or minorities will be eligible for a 25 percent bidding credit on all licenses designated by an (\*\*) above. See Third Report and Order at ¶¶ 72-80.

# Procedures, Terms and Conditions

# PROCEDURES, TERMS AND CONDITIONS OF AUCTION

## I. INTRODUCTION

The Federal Communications Commission ("FCC") plans to hold a simultaneous multiple round auction for ten nationwide Personal Communications Service (PCS) licenses in the 900 MHz band ("narrowband PCS"). The auction will begin at 10:00 A.M. on Monday, July 25, 1994. Bidding will end at 6:00 P.M.. Bidding will begin again at 9:00 A.M and end at 6:00 P.M. each day thereafter until bidding has closed on all licenses. The auction will be held in the Blue Room at the Omni Shoreham Hotel at 2500 Calvert Street, N.W., Washington, D.C. **Those wishing to participate in the auction must submit an FCC Form 175 in accordance with the Commission's rules and instructions. The FCC Form 175 must be received on or before 5:30 P.M. EDT, Friday, July 1, 1994. Applicants are also required to submit an upfront payment of \$350,000 per license (in U.S. dollars) for the maximum number of licenses on which they expect to bid in any single round. As detailed later in this document, the upfront payment must be by wire transfer or cashier's check payable to the Federal Communications Commission or "FCC" and must be received on or before 3:00 P.M. EDT on Monday, July 11, 1994. Limited observation space will be available at the auction for members of the general public.**

The auction will be conducted by Tradewinds International, Inc. and Cantor Fitzgerald Securities, Inc. Prospective bidders must thoroughly familiarize themselves with the procedures, terms and conditions (collectively, "Terms"), contained in the Second Report and Order in PP Docket No. 93-253, FCC 94-61, released April 20, 1994, the Third Report and Order in PP Docket No. 93-253, FCC 94-98, released May 10, 1994, and the Commission's Public Notice Report No. Auc-94-01, Auction No. 1, released May 23, 1994. Copies of the Second Report and Order and the Public Notice are available for a fee from International Transcription Services, Inc. at (202) 857-3800. A copy of the Third Report and Order is included in this document. **The Terms contained in the Commission Reports and Orders and in the Bidder Package are not negotiable. Prospective bidders should review these auction documents thoroughly prior to the auction to make certain that they understand all of the provisions and are willing to be bound by all of the Terms before making any bid.**

## II. BIDDER ELIGIBILITY

In order to be eligible to bid in the auction bidders must submit A) a short form license application (FCC 175 and FCC 175-S) and B) an upfront payment in compliance with applicable FCC Rules and Regulations and as set forth below. As more fully described below, the status of applications will be described in a series of Public Notices. The FCC will announce all qualified bidders in a Public Notice no later than July 14, 1994.

## **A. Short Form Application (FCC Form 175)**

The FCC Form 175 may be submitted anytime after the release of this Public Notice but must be received no later than 5:30 P.M. EDT, Friday, July 1, 1994. Certain information necessary to complete FCC Form 175, such as market numbers and frequency block numbers for nationwide narrowband PCS licenses, may be found in the Summary of Licenses to be Auctioned in this package. The Auction No. for this auction is "1". Only the person or persons identified on FCC Form 175 as qualified to make a bid will be permitted to bid at the auction.

### Completion of Form 175

Applicants are required to complete all the items on the application. Applicants should carefully review §1.2105 (a) (2) (ii) and (viii) of the Final Rules which are included in this Bidder's Information Package, prior to completing the Form 175. In completing FCC Form 175, bidders should note the following:

1. In item 6 of FCC Form 175, Auction No., applicants should enter "1".
2. Item 7 requires applicants to create a ten digit FCC Account Number, a personal identification number that the Commission will use to identify and track applications. Applicants should use their taxpayer identification number (TIN) with a prefix of "0", i.e., 0123456789. If an applicant does not have a tax identification number, it may use its ten digit telephone number (i.e., 5552345678). Each applicant must use this same number when submitting additional information/material regarding its application, including any required fees submitted to the Commission on FCC Form 159 (FCC Remittance Advice), (i.e. use the same number for the Form 175 and the FCC Account Number on FCC Form 159). This number must be used whenever an applicant writes, calls, or otherwise inquires about its application. Applicants will also need this number to register for the auction.
3. Items 9 and 10 will be used to determine whether the applicant is claiming a preference in the bidding process. As discussed more fully in the Third Report and Order, certain preferential measures are available to small businesses and businesses owned by members of minority groups and/or women. Applicants claiming a preference should refer to Section 1.2110 of the Commission's Rules (47 C.F.R. § 1.2110) for definitions and eligibility requirements applicable to small businesses and businesses owned by women and minorities. See also Third Report and Order at ¶¶ 66-90.
4. In Item 11, applicants should identify the market number for each narrowband PCS license on which they want to bid. The Market and Frequency Block Numbers for each license are listed in the Summary of Licenses to be Auctioned contained in this package. Applicants should separately list the market number for each license they are interested in bidding on in the first column labeled "Market No." If applicants want to bid on more than five markets, they should list each additional market number on FCC Form 175-S. For the

Frequency Block No. in item 11, applicants should indicate the frequency block number associated with each license they expect to bid on at the auction.

5. In item 12, applicants should list the name(s) of a person(s) authorized to represent them at the auction.

6. Applicants should read the "Certifications" listed on the FCC Form 175 carefully before signing the application. These certifications help to ensure a fair and competitive auction and require, among other things, disclosure to the Commission of certain information on applicant ownership and agreements or arrangements concerning the auction. **Submission of a false certification to the Commission may result in penalties, including monetary forfeitures, license revocation(s), being barred from future auctions, and/or criminal prosecution.**

7. Applicants filing Form 175 and 401 are reminded that they must comply with Section 24.413 of the narrowband PCS Rules, which requires disclosure of certain ownership information in an Exhibit V.

Microfiche copies of the FCC Form 175 or 175-S are required. See Section 24.406.

**Failure to sign the FCC Form 175 will result in dismissal of the application and inability to participate in the auction. Only original signatures will be accepted.**

#### Where to Send the FCC Form 175

**In order to be eligible to bid, an FCC Form 175 application, including Form 175-S, if needed, must be received by 5:30 P.M., EDT on Friday, July 1, 1994. Late applications will not be accepted.** Applications should be submitted either by hand delivery, certified U.S. mail (return receipt requested) or private courier. Whether mailed, hand delivered or sent by private courier, applications must be addressed to:

Tradewinds International, Inc.  
General Aviation Terminal  
No. 7 Thomas Avenue  
Washington National Airport  
Washington, D.C., 20001  
(202) 637-3221  
Attention: Narrowband PCS Processing

**Applications will not be accepted if delivered to any other location.**

No application fee or FCC Form 159 need accompany the FCC Form 175 for the auction.

## B. Upfront Payments

In order to be eligible to bid at the auction, applicants must submit an upfront payment together with an FCC Form 159 in accordance with the Instructions for Making Auction Payments contained in Section VII of this document. **The upfront payment is \$350,000 per license for the maximum number of licenses on which an applicant expects to bid in any single round of bidding.** Payment must be made in U.S. dollars and must be received by 3:00 P.M. EDT, Monday, July 11, 1994, in accordance with the terms and procedures set forth below and the Commission's Rules.

The upfront payment may be submitted by wire transfer or cashier's check payable to the "Federal Communications Commission" or "FCC." Wire transfer instructions and the delivery address are fully described below in the Instructions for Making Auction Payments. Check(s) must be drawn on a bank whose deposits are insured by the Federal Deposit Insurance Corporation (FDIC). **Failure to deliver the upfront payment in a timely manner will result in dismissal of the application and inability to participate in the auction.**

### Amount of the Upfront Payment

An applicant intending to bid on more than one nationwide narrowband license must submit an upfront payment of \$350,000 per license for the maximum number of licenses on which it intends to bid in any single round of bidding. The upfront payment submitted by each applicant will define the maximum number of licenses on which the applicant will be permitted to bid in any single round of bidding. By submitting an upfront payment of \$350,000 and applying for all ten nationwide licenses on the FCC form 175, a bidder may bid on any single license in any round of bidding.

*\$350,000  
upfront*

## C. Public Notices of Application Status and Process for Minor Corrections

After the deadline for filing FCC Form 175 applications has passed, the Commission will process all applications to determine whether they are accepted for filing. The Commission will issue a Public Notice listing all applications which are accepted for filing, rejected, and those which have minor defects that may be corrected. The Public Notice will also announce the deadline for filing corrected applications. **As described more fully in the Commission's general auction rules, applicants may only make minor corrections to their FCC Form 175 applications. Applicants will not be permitted to make major modifications such as changes in ownership to their applications.** Failure to sign an FCC Form 175 cannot be corrected and will cause the application to be dismissed and the applicant to be ineligible to participate in the auction. See Section 1.2105 of the Commission's Rules. 47 C.F.R. § 1.2105.

After the deadline for resubmitting corrected applications the Commission will release another Public Notice announcing all applications that have been accepted for filing, including applicants who have corrected defective applications.

The Commission will issue a Public Notice by July 14, 1994 announcing all qualified bidders for the nationwide narrowband PCS auction. Qualified bidders are those whose Form 175 applications have been accepted for filing and who have timely submitted their upfront payment.

### **III. REGISTRATION AT THE AUCTION**

Registration will be held from 1:00 P.M. to 9:00 P.M. on Sunday, July 24, 1994 and from 8:00 A.M. to 9:30 A.M. on Monday, July 25, 1994 at the Omni Shoreham Hotel, Blue Room, at 2500 Calvert Street, N.W., Washington, D.C. Early registration is strongly encouraged.

All qualified bidders or their designated representatives identified on Form 175 are required to register during the above stated times. Failure to register prior to the auction will cause the applicant to be ineligible to participate in the Auction. Only qualified bidders that were identified in a Public Notice issued prior to the Auction will be permitted to register to bid.

All bidders will be required to bring two forms of identification to registration including one form of photo identification (e.g., a valid drivers license or passport) and one additional form of identification.

At registration, a confidential bidder number will be assigned to each qualified bidder. The confidential bidder number, FCC Account Number and name of the bidder as shown on the short form license application will be needed in order to place bids at the auction.

### **IV. AUCTION EVENT**

The Auction will begin at 10:00 A.M. on Monday, July 25, 1994 and bidding will end at 6:00 P.M. Bidding will begin at 9:00 A.M. and end at 6:00 P.M. each day thereafter until bidding has closed on all licenses. The auction will be held in the Blue Room at the Omni Shoreham Hotel at 2500 Calvert Street, NW, Washington, D.C. We anticipate that the auction could continue until 6:00 P.M., Friday, July 29, 1994.



## V. AUCTION PROCEDURES

The nationwide narrowband PCS licenses will be awarded through a simultaneous multiple round auction. Bids will be accepted on all licenses in each round of the auction. High bid amounts will be posted at the end of each round of bidding. Bidding will remain open on all licenses until the time for bidding in one round has passed and there have been no new acceptable bids on any license. Thus, bidding will stop simultaneously on all licenses.

### A. Number of Licenses that May be Acquired

Narrowband PCS applicants will be permitted to aggregate up to three licenses. An applicant may apply for every license on its Form 175, but its actual bidding in any round will be limited to the number of licenses covered by the amount of its upfront payment.

### B. Bid Submission and Withdrawal Procedures

All bidders or their representatives are required to be present at the auction site in order to place their bids. Each bidder will be required to provide its confidential bidder number and FCC account number in order to place or withdraw a bid. Each bidder may submit only one bid per license per round. Bids will either place their bids into the computerized auction database or place their bids with bid assistants who will input the bids into the auction database. All accepted bids for each license and the minimum bid increment for the next round will be announced at the conclusion of each bidding round. **Bidders will have no less than one hour after accepted bids are posted to place their bids for the next round.**

A high bidder who wants to withdraw its high bid during the course of the auction may do so **subject to the bid withdrawal penalty** specified in the Third Report and Order at ¶¶ 49-59. A high bidder who wants to withdraw its high bid should notify a bid assistant as soon as possible after its bid is posted as the high bid. If a high bid is withdrawn, the license will be offered in the next round at the second highest bid price.

### C. Minimum Opening Bid and Bid Increments

The bid increment is the amount or percentage by which a bid must be raised above the previous high bid in order to be accepted as a valid bid in the current round. The minimum opening bid in the first round of bidding will be \$.02 per pop per MHz (rounded down to the nearest \$25,000). The bid increment in subsequent rounds will be \$.01 per pop per MHz (rounded down to the nearest \$25,000) or 5% of the previous high bid, whichever is greater. The amount of the minimum bid increment may be reduced in later rounds as the number of active bidders declines. The amount of the minimum bid increment for each license will be announced along with the accepted bids from the preceding round. The following table shows the amount of the minimum bid increment for each category of license:

License Category	Minimum Opening Bid in the First Round	Minimum Bid Increment After First Round*
50/50 kHz paired licenses	\$500,000	\$250,000
50/12.5 kHz paired licenses	\$300,000	\$150,000
50 kHz unpaired licenses	\$250,000	\$125,000

\*(or 5% of the previous high bid, whichever is greater)

#### **D. Activity Rule**

In order to ensure that the auction closes within a reasonable period of time, we will impose an activity rule to prevent bidders from waiting until the end of the auction before participating. Because of the relatively small number of licenses being offered in this auction we will impose a simplified version of the Milgrom-Wilson activity rule (discussed in the Third Report and Order at ¶¶ 37-40) employing up to two stages rather than three stages. During the first stage of the auction bidders will be required to be active on at least one license in every round of bidding.

A bidder will be considered active on a license if it is either the high bidder from the previous round or submits a bid which exceeds the previous round's high bid by at least the amount of the minimum bid increment. Tie bids will be awarded based upon the earliest bid submitted within each round.

Bidders will be permitted five automatic waivers from the activity rule during the course of the auction. A waiver applies to an entire round of bidding and not to a particular license. A bidder must exercise one or more of its waivers no later than the time such bidder submits its next bid. Bidders in the first stage of the auction who fall below the required activity level and who have used all five of the automatic waivers will have their eligibility reduced to 0 and will not be eligible to bid in future rounds. See Third Report and Order at ¶¶ 36-40.

To increase the pace of the auction, the Commission may declare at any time after 15 rounds have passed that the auction will move into a final stage, with an increased activity level. If the Commission declares such an additional stage, bidders would be required to be active on the maximum number of licenses they desire to be awarded. In the final stage, bidders would have their eligibility reduced to the number of licenses on which they are active, unless they invoke an automatic waiver or waivers, in which case they would retain their current eligibility.

## **E. Stopping Rules**

Bidding will remain open on all licenses until bidding stops on every license. The auction will close if one round passes with no new acceptable bids on any license. Thus, bidding will stop on all licenses simultaneously. Bidders may not invoke a waiver after the last round of bidding closes in order to re-open the auction. Tie bids will be awarded based upon the earliest bid submitted within the final round. The Commission, however, may declare at any time after 20 rounds that the auction will end after one additional round (or some other specified number of rounds).

## **F. Bid Withdrawal, Default or Disqualification Penalty**

Any high bidder who withdraws a high bid in any round, defaults by failing to remit the required 20% down payment within the prescribed time or is disqualified after bidding is declared closed will be subject to the penalty described in Section 24.304 of the Commission's Rules. 47 C.F.R. § 24.304.

# **VI. POST-AUCTION PROCEDURES FOR HIGH BIDDERS**

## **A. Down Payment**

The winning bidder for each license must submit sufficient additional funds (a "down payment") to bring the amount of money on deposit with the government to 20% of their winning bid amount within five (5) business days after bidding is declared closed. No installment financing is available for these licenses. **No interest will be paid on any funds on deposit.**

## **B. Submission of Long Form Application (FCC Form 401) and Award of Licenses**

As detailed in the narrowband PCS and general auction rules, winning bidders must timely submit a properly completed FCC application for a narrowband PCS license (FCC Form 401) within ten (10) business days after bidding is declared closed. The form 401 must be sent to:

Office of the Secretary  
Federal Communications Commission  
1919 M St., N.W., Room 222  
Washington, D.C. 20554  
(202) 418-1400  
Attention: Auction Application Processing Section

Both Form 401 and special instructions for narrowband PCS applicants completing Form 401 are enclosed. Applicants are reminded that they must comply with Section 24.413 of the narrowband PCS rules which requires the filing of an Exhibit V disclosing certain ownership information. If the applicant has previously disclosed this information in an Exhibit to Form 175, the applicant may simply note any changes to the Exhibit V previously filed. If there have been no changes, the applicant can state in its Exhibit V that there are no changes. After submission of the FCC Form 401, the Commission will determine whether there are any reasons why the license should not be granted; if there are none, it will grant the license.

### **C. Final Payment**

Winning bidders will be required to pay the remainder of the winning bid amount within five (5) business days after grant of the license. All license grants will be conditioned on timely payment in full of the bid price. The continuing validity of the license will be conditioned upon full payment of the remaining balance of the winning bid within five business days after license grant in the manner described in Section VII below.

## **VII. INSTRUCTIONS FOR MAKING AUCTION PAYMENTS**

All payments must be made in U.S. dollars, must be in the form of a wire transfer or cashier's check, and must be made payable to the "Federal Communications Commission" or "FCC".

All payments, whether being paid by wire transfer or cashier's check, must be accompanied by a completed FCC Remittance Advice (Form 159). A sample FCC Remittance Advice (Form 159) is included in this Bidder's Information Package, as discussed below.

### **A. FCC Remittance Advice, Form 159**

High bidders must submit an FCC Form 159 when making any payments to the Commission's lockbox bank. The purpose of the FCC Form 159 is to identify to the FCC who is paying, how much they are paying and for what they are paying. It allows the bank to accurately process your remittance. **Failure to accurately complete your FCC Form 159 could result in a delay in processing your remittance.**

Before completing an FCC Form 159, read the "Instructions For Using FCC Form 159" in this Bidder's Information Package.

1) You must complete all of the blocks in the Payor Information Section, (Blocks 1 through 10).

2) You must complete the following blocks for each "Item Number Information" in accordance with the Instructions For Using FCC Form 159 (but only if the name of the "payor" and the "applicant" are different): Block numbers 11, 13, 19, 20, and 21.

3) You must complete the following auction specific information in blocks 14 and 17. Block numbers 14 and 17 will be used to identify the particular auction event in which you are participating. Block 17, FCC Code 1, corresponds to the Auction Event Number indicated on the Public Notice which announced the auction event. Please fill in Block 17 with the number 1. For Block 14 (Payment Type Code) please fill in the letters **ACGC**.

### **B. Making Auction Payments by Cashier's Check**

Each cashier's checks and corresponding FCC Remittance Advice (Form 159) must be in an individual envelope and specifically addressed to: Mellon Bank, P.O. Box # 358850, Pittsburgh, PA 15251-5840, Attn: Auction Payment.

If delivering an auction payment in person or by courier, the check and FCC Remittance Advice, Form 159 must be delivered to: Mellon Bank, 3 Mellon Bank Center, 424 William Penn Way, Pittsburgh, PA 15259, (202) 632-0241, Attn: Wholesale Lockbox Shift Supervisor, 27th Floor (153-2713)

### **C. Making Auction Payments by Wire Transfer**

If making an auction payment by wire transfer, **fax** a completed FCC Remittance Advice (Form 159) to Mellon Bank at (412) 236-5702 at least one hour before placing the order for the wire transfer. On the cover sheet of the fax indicate "Wire Transfer - Auction Payment for Auction Event # 1". When wiring funds, please give your bank the following information:

ABA Routing Number: 043000261

Receiving Bank: Mellon Pittsburgh

BNF: FCC/AC--9116106

OBI Field: (Skip one space between each information item)

"AUCTIONPAY"

FCC ACCOUNT NO. (Exactly as on Form 159, Block #1)

PAYMENT TYPE CODE (Exactly as on Form 159, Block #14)

FCC CODE 1 (Exactly as on Form 159, Block #17)

PAYOR NAME (Exactly as on Form 159, Block #3)

For further information, please direct any questions to Regina Dorsey, Chief, Billings and Collections Branch at (202) 632-0241.

### **VIII. BENEFITS FOR DESIGNATED ENTITIES**

The Commission has provided certain benefits to small businesses and businesses owned by members of minority groups and/or women, (collectively, "designated entities"). The benefits are described in the Third Report and Order and in the general auction rules. Certain penalties apply if a designated entity obtains an PCS license using the benefits available to designated entities and subsequently transfers or sells its license prematurely. These penalties are explained more fully in the Commission's Third Report and Order and in its general auction rules.

### **VIII. OTHER NOTICES**

The Commission may by Public Notice or announcement during the auction, delay, suspend or cancel the auction in the event of natural disaster, technical obstacle, evidence of an auction security breach, unlawful bidding activity, administrative necessity, or for any other reason that affects the fair and competitive conduct of competitive bidding. In such cases, the Commission may, in its sole discretion, resume the auction starting from the beginning of the current or some previous round or may cancel the auction in its entirety.

The FCC reserves the absolute right, in its sole discretion to withdraw any license from the auction at any time prior to the submission of a bid on such license. All bidders will be bound by announcements of Cantor Fitzgerald Securities, Inc. at the auction, even though a bidder may not have actually heard the announcement. The FCC reserves the absolute right to deny any person admittance to the auction and remove any person, including a registered bidder, from the auction.

A video and audio recording of the auction will be made and if any dispute arises following the auction, the recordings shall be conclusive evidence of what occurred at the auction. All recordings are the property of the FCC and will be made available for viewing by registered bidders in the event of disputes. All reviews shall take place in Washington, D.C., or elsewhere at the sole election of the FCC. No video or audio recordings of the auction process will be allowed by anyone other than the FCC, Tradewinds International, Inc. or Cantor Fitzgerald Securities, Inc. without the prior written consent of the FCC.

# Short Form Application

Federal Communications Commission  
Washington, DC 20554  
Application to Participate in an FCC Auction  
(Read Instructions on Back Before Completing)

Special Use

FCC Use Only

OMB Approval 3060-066  
Expires 4/30/99  
Estimate Average Burden  
Per Response: 30 Minute

1. Applicant

8. Applicant Classification: ☐ Individual ☐ Partnership  
☐ Trust ☐ Corporation  
☐ Other \_\_\_\_\_

2. Mail Address (No P.O. Boxes)

9. Preference Type: ☐ Rural telephone company  
☐ Minority owned small business  
☐ Woman owned small business  
☐ Small Business  
☐ None of the above

3. City

4. State

5. Zip Code

6. Auction Number

7. FCC Account Number

10. Preference Claimed: ☐ Yes ☐ No

11. Markets and Frequency Blocks for which you want to bid. If more than 5 markets, use supplemental form (FCC 175-S).

Market No.		Frequency Block No.										
		1	2	3	4	5	6	7	8	9	10	11
(a)												
(b)												
(c)												
(d)												
(e)												

☐ Check here if supplemental forms are attached. Indicate number of supplemental forms attached: \_\_\_\_\_

12. Person(s) authorized to make or withdraw a bid (Typed/Printed Name)

(a) \_\_\_\_\_ (b) \_\_\_\_\_ (c) \_\_\_\_\_

Certification: I certify the following:

- (1) that the applicant is legally, technically, financially and otherwise qualified pursuant to 308(b) of the Communications Act and the Commission's Rules and is in compliance with the foreign ownership provisions contained in Section 310 of the Communications Act.
- (2) that the applicant is the real party in interest in this application and that there are no agreements or understandings other than those specified in this application (see instructions for certification), which provide that someone other than the applicant shall have an interest in the license.
- (3) that the applicant is aware that, if upon Commission inspection, this application is shown to be defective, the application may be dismissed without further consideration, and certain fees forfeited. Other penalties may also apply.
- (4) that the applicant has not entered into and will not enter into any explicit or implicit agreements or understandings of any kind with parties not identified in the application regarding the amount to be bid, bidding strategies or the particular license on which the applicant or other parties will or will not bid.
- (5) that the applicant, or any party to this application, is not subject to a denial of federal benefits pursuant to Section 5301 of the Anti-Drug Abuse Act of 1988.
- (6) that, if a preference(s) is claimed in block 10, the applicant is eligible to receive a preference(s) under Part I of the Commission's Rules.

I declare, under penalties of perjury, that I am an authorized representative of the above-named applicant for the license(s) specified above, that I have read the instructions and the foregoing certification and all matters and things stated in this application and attachments, including exhibits, are true and correct.

Typed/Printed Name of Person Certifying	Title of Person Certifying	Date
Signature of Person Certifying	Contact Person	Telephone No.

Willful false statements made on this form are punishable by fine and imprisonment (U.S.Code, Title 18, Section 1001) and/or revocation of any station license or construction permit (U.S.Code, Title 47, Section 312(a)(1)), and/or forfeiture (U.S.Code, Title 47, Section 603).

FCC  
May, 1



## Instructions

**Item 1. Applicant Name:** Enter the legal name of the person or entity applying to participate in an auction. If other than an individual, insert the exact name of the entity as it appears on the legal document(s) establishing the entity such as the Articles of Incorporation.

[NOTE: Applicants who have entered into an arrangement(s) of any kind relating to the license(s) specified in this application must provide additional information. See certification instructions below.]

**Item 2. Applicant Mailing Address:** Enter the street address to which the entity wants future correspondence relating to this application to be mailed. Indicate street numbers or rural route numbers as appropriate.

**Item 3. City:** Enter the city name for the applicant mailing address.

**Item 4. State:** Enter the two-letter state abbreviation for the applicant address.

**Item 5. ZIP Code:** Enter the ZIP Code for the applicant address.

**Item 6. Auction Number:** Enter the appropriate auction number. This number will be supplied by the Commission in the Public Notice announcing the auction.

**Item 7. FCC Account No.:** Enter your personal identification number. This number must consist of ten digits. You have two options to create this FCC Account Number. Option 1-you may use your taxpayer identification number (TIN) with a prefix of "0", i.e., 0123456789. Option 2-you may use your ten-digit telephone number (i.e., 5552345678). You should use this same number when submitting additional information/material regarding this application, including any required fees submitted to the Commission on FCC 159, FCC Remittance Advice, (i.e., use the same number for this form and the FCC Account Number on FCC 159).

**Item 8. Applicant Classification:** Place an [X] in the appropriate box preceding the type of entity to indicate the type of legal entity applying. If an [X] is placed in the "Other" box indicate the type of entity applying in the space provided (e.g., governmental entity, association, etc.). Limited liability companies should check the "Partnership" box.

**Item 9. Applicant Type:** Place an [X] in the appropriate box or boxes preceding the appropriate applicant type. This information will be used for purposes of determining the applicant's eligibility for any preferences available for designated entities. See Part 1 of the Commission's Rules for definitions of the different types of designated entities.

**Item 10. Preference Claimed:** Place an [X] in the "Yes" box if you are claiming a preference(s) available to designated entities. If you are not claiming a preference(s) available to designated entities, place an [X] in the "No" box. In order to be eligible for a preference(s) you must have checked one or more of the boxes in Item 9 other than the "None of the above" box, and a preference(s) must be available for the license(s) for which you are applying.

**Item 11. Markets/Frequency Blocks:** Enter the code for the market(s) on which you want to bid in the column under Market No. The codes will be provided by the Commission in a Public Notice. Use a separate line (a-e) for each different market. If you plan to bid on more than five markets place an [X] in the box below the table to indicate there are supplementary forms attached. You must use Supplemental Form, FCC 175-S. After each market list the code for the frequency block(s) or channel (s) on which you want to bid. These codes will be provided by the Commission in a Public Notice. For example, if you wanted to bid on two frequency blocks in market (a) and one block in market (b) you would enter the codes for those two blocks in columns 1 and 2 on line (a) and leave the remaining columns on that line blank. On line (b) you would enter in column 1 the code for the block you wanted in market (b) and leave the remaining columns on the line blank.

**Item 12. Authorized Representatives:** Type or print the name(s) of the person(s) you wish to designate as an authorized representative(s). Only authorized representatives will be allowed to make or withdraw bids at an auction. You may list a maximum of three (3) authorized representatives.

**Certification:** Read the certification. Enter the typed/printed name of the individual authorized to sign the application, his/her title, date signed, authorized individual's signature, the name of a person familiar with the application (contact person) and the phone number (including area code) of the contact person. See Part 1, Subpart Q of the Commission's Rules. All applications must bear an original signature of a person authorized to sign on behalf of the applicant. List in the space provided below or in an exhibit the name, citizenship and address of all partners, if the applicant is a partnership; of a responsible officer or director, if the applicant is a corporation; of the trustee, if the applicant is a trust or, if the applicant is none of the foregoing, list the name and address of a principal or other responsible person. See Part 1, Subpart Q of the Commission's Rules.

Also list in the space provided below or in an exhibit all parties with whom the applicant has entered into an agreement(s), of any kind, relating to the licenses being auctioned including such agreements(s) relating to the post auction market structure. See Part 1, Subpart Q of the Commission's Rules.

**NOTE:** The Commission's Public Notice announcing the auction for the licenses on which you are interested in bidding contains information essential to completing this form correctly. Forms which are completed incorrectly may be dismissed without an opportunity for resubmission.

Use this space for listing additional information required by the Certification. [If additional space is needed attach a separate sheet(s).]

The solicitation of personal information requested in this form is authorized by the Communications Act of 1934, as amended. The Commission will use the information to determine whether grant of this application is in the public interest. In reaching that determination, or for law enforcement purposes, it may become necessary to refer personal information contained in this form to another government agency. In addition, all information provided in this form will be available for public inspection. If information requested on this form is not provided, processing may be delayed or the application may be returned without action pursuant to the Commission's rules. Your response is required to obtain the requested authority.

Public reporting burden for this information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data needed, gathering and maintaining the data needed, and completing and reviewing the collection. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Federal Communications Commission, Records Management Division, Washington, D.C. 20554, and to the Office of Management and Budget, Paperwork Reduction Project (3060-0600), Washington, D.C. 20503.

THE FOREGOING NOTICE IS REQUIRED BY THE PRIVACY ACT OF 1974, P.L. 93-579, DECEMBER 31, 1976, 5 U.S.C. 522a(e)(3) AND THE PAPERWORK REDUCTION ACT OF 1980, 96-611, DECEMBER 11, 1980, 47 U.S.C. 3507

Application to Participate in an FCC Auction  
Supplemental Form

(This form is to be used in conjunction with FCC 175)

Applicant	Auction No.	FCC Account No.	Page ____ OF ____
Street Address/City (No P.O. Boxes)		State	ZIP Code

	Market No.	Frequency Block No.										
		1	2	3	4	5	6	7	8	9	10	11
(f)												
(g)												
(h)												
(i)												
(j)												
(k)												
(l)												
(m)												
(n)												
(o)												
(p)												
(q)												
(r)												
(s)												
(t)												
(u)												
(v)												
(w)												
(x)												
(y)												

The solicitation of personal information requested in this form is authorized by the Communications Act of 1934, as amended. The Commission will use the information to determine whether grant of this application is in the public interest. In reaching that determination, or for law enforcement purposes, it may become necessary to refer personal information contained in this form to another government agency. In addition, all information provided in this form will be available for public inspection. If information requested on this form is not provided, processing may be delayed or the application may be returned without action pursuant to the Commission's rules. Your response is required to obtain the requested authority.

Public reporting burden for this information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Federal Communications Commission, Records Management Division, Washington, D.C. 20554, and to the Office of Management and Budget, Paperwork Reduction Project (3060-0600), Washington, D.C. 20503.

THE FOREGOING NOTICE IS REQUIRED BY THE PRIVACY ACT OF 1974, P.L. 93-579, DECEMBER 31, 1975, 5 U.S.C. 522a(e)(3) AND THE PAPERWORK REDUCTION ACT OF 1980, 96-511, DECEMBER 11, 1980, 47 U.S.C. 3507

## **§ 1.2105 Bidding Application and Certification Procedures; Prohibition of Collusion**

(a) Submission of Short Form Application (FCC Form 175). In order to be eligible to bid, an applicant must timely submit a short-form application (FCC Form 175), together with any appropriate filing fee set forth by Public Notice. Unless otherwise provided by Public Notice, the Form 175 need not be accompanied by an upfront payment (see Section 1.2106 of this part).

(1) All Form 175s will be due:

(a) on the date(s) specified by Public Notice; or

(b) in the case of application filing dates which occur automatically by operation of law (see, e.g., 47 C.F.R. Section 22.902), on a date specified by Public Notice after the Commission has reviewed the applications that have been filed on those dates and determined that mutual exclusivity exists.

(2) The Form 175 must contain the following information:

(i) Identification of each license on which the applicant wishes to bid;

(ii) The applicant's name, if the applicant is an individual. If the applicant is a corporation, then the short-form application will require the name and address of the corporate office and the name and title of an officer or director. If the applicant is a partnership, then the application will require the name, citizenship and address of all partners, and, if a partner is not a natural person, then the name and title of a responsible person should be included as well. If the applicant is a trust, then the name and address of the trustee will be required. If the applicant is none of the above, then it must identify and describe itself and its principals or other responsible persons;

(iii) The identity of the person(s) authorized to make or withdraw a bid;

(iv) If the applicant applies as a designated entity pursuant to § 1.2110 of these rules, a statement to that effect and a declaration, under penalty of perjury, that the applicant is qualified as a designated entity under § 1.2110 of the Commission's Rules;

(v) Certification that the applicant is legally, technically, financially and otherwise qualified pursuant to Section 308(b) of the Communications Act of 1934, as amended;

(vi) Certification that the applicant is in compliance with the foreign ownership provisions of Section 310 of the Communications Act of 1934, as amended;

(vii) Certification that the applicant is and will, during the pendency of its application(s), remain in compliance with any service-specific qualifications applicable to the licenses on which the applicant intends to bid including, but not limited to, financial qualifications. The Commission may require certification in certain services that the applicant will, following grant of a license, come into compliance with certain service-specific rules, including, but not limited to, ownership eligibility limitations;

(viii) An exhibit, certified as truthful under penalty of perjury, identifying all parties with whom the applicant has entered into partnerships, joint ventures, consortia or other agreements, arrangements or understandings of any kind relating to the licenses being auctioned, including any such agreements relating to the post-auction market structure. All such arrangements must have been entered into prior to the filing of Form 175 and no such arrangements may be entered into after the filing of Form 175 until after the winning bidder has made the required down payment;

(ix) Certification under penalty of perjury that it has not entered and will not enter into any explicit or implicit agreements, arrangements or understandings of any kind with any parties other than those identified pursuant to subsection (viii) regarding the amount of their bids, bidding strategies or the particular licenses on which they will or will not bid;

NOTE: The Commission may also request applicants to submit additional information for informational purposes to aid in its preparation of required reports to Congress.

(b) Modification and Dismissal of Form 175.

(1) Any Form 175 that is not signed or otherwise does not contain all of the certifications required pursuant to this section is unacceptable for filing and cannot be corrected subsequent to any applicable filing deadline. The application will be dismissed with prejudice and the upfront payment, if paid, will be returned.

(2) The Commission will provide bidders a limited opportunity to cure defects specified herein (except for failure to sign the application and to make certifications) and to resubmit a corrected application. Form 175 may be amended or modified to make minor changes or correct minor errors in the application (such as typographical errors). The Commission will classify all amendments as major or minor, pursuant to rules applicable to specific services. An application will be considered to be a newly filed application if it is amended by a major amendment and may not be resubmitted after applicable filing deadlines.

(3) Applicants who fail to correct defects in their applications in a timely manner as specified by Public Notice will have their applications dismissed with no opportunity for resubmission.

(c) Prohibition of Collusion. After the filing of short-form applications, all bidders are prohibited from cooperating, collaborating, discussing or disclosing in any manner the substance of their bids or bidding strategies with other bidders until after the high bidder makes the required down payment, unless such bidders are members of a bidding consortium or other joint bidding arrangement identified on the bidder's short-form application.

# FCC Remittance Advice

PAGE NO. 1 OF       

FCC USE ONLY

## **PAYOR INFORMATION**

(2) TOTAL AMOUNT PAID (dollars and cents)

(10) COUNTRY CODE (if not U.S.A.)

**ITEM #1 INFORMATION**

FCC USE ONLY

(16A) FEE DUE FOR  
PAYMENT TYPE CODE  
IN BLOCK 14  
S

(18A) FCC CODE 2

(21A) CITY/STATE OR COUNTRY CODE

**ITEM #2 INFORMATION**

FCC USE ONLY

(16B) FEE DUE FOR  
PAYMENT TYPE CODE  
IN BLOCK 14  
\$

(18B) FCC CODE 2

(21B) CITY/STATE OR COUNTRY CODE

### CREDIT CARD PAYMENT INFORMATION

Year

DATE \_\_\_\_\_

**NOTICE TO INDIVIDUALS REQUIRED BY THE PRIVACY ACT OF 1974 AND THE PAPERWORK  
REDUCTION ACT**

Section 9 of the Communications Act authorizes the FCC to request the information on this form. The information requested is required to recover costs incurred in carrying out its enforcement activities, policy and rulemaking activities, user information services, and international activities. The form will be used primarily to capture paper information in order to speed the refund process and maintain required accounts receivable information. It will also be used to collect fines and debts due the Commission.

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden to the Federal Communications Commission, Records Management Division, AMD-PIRS, Washington, DC 20554, and to the Office of Management and Budget, Office of Information and Regulatory Affairs, Paperwork Reduction Project (3060-0589), Washington, DC 20503.

**ADVICE (CONTINUATION SHEET)**

PAGE NO. \_\_\_\_\_ OF \_\_\_\_\_

ITEM # _____ INFORMATION				
FCC ACCOUNT # 		NAME OF APPLICANT, LICENSEE, REGULATEE, OR DEBTOR		FCC USE ONLY
FCC CALL SIGN/OTHER ID		ZIP CODE	PAYMENT TYPE CODE 	QUANTITY FEE DUE FOR PAYMENT TYPE CODE \$
FCC CODE 1		FCC CODE 2		
ADDRESS LINE NO. 1		ADDRESS LINE NO. 2)		CITY/STATE OR COUNTRY CODE

ITEM # _____ INFORMATION				
FCC ACCOUNT # 		NAME OF APPLICANT, LICENSEE, REGULATEE, OR DEBTOR		FCC USE ONLY
FCC CALL SIGN/OTHER ID		ZIP CODE	PAYMENT TYPE CODE 	QUANTITY FEE DUE FOR PAYMENT TYPE CODE \$
FCC CODE 1		FCC CODE 2		
ADDRESS LINE NO. 1		ADDRESS LINE NO. 2)		CITY/STATE OR COUNTRY CODE

ITEM # _____ INFORMATION				
FCC ACCOUNT # 		NAME OF APPLICANT, LICENSEE, REGULATEE, OR DEBTOR		FCC USE ONLY
FCC CALL SIGN/OTHER ID		ZIP CODE	PAYMENT TYPE CODE 	QUANTITY FEE DUE FOR PAYMENT TYPE CODE \$
FCC CODE 1		FCC CODE 2		
ADDRESS LINE NO. 1		ADDRESS LINE NO. 2)		CITY/STATE OR COUNTRY CODE

ITEM # _____ INFORMATION				
FCC ACCOUNT # 		NAME OF APPLICANT, LICENSEE, REGULATEE, OR DEBTOR		FCC USE ONLY
FCC CALL SIGN/OTHER ID		ZIP CODE	PAYMENT TYPE CODE 	QUANTITY FEE DUE FOR PAYMENT TYPE CODE \$
FCC CODE 1		FCC CODE 2		
ADDRESS LINE NO. 1		ADDRESS LINE NO. 2)		CITY/STATE OR COUNTRY CODE



bidding under those rules. Narrowband PCS applicants filing Form 401 need not complete Schedule B.

(c) All applications for Narrowband PCS radio station authorizations (other than applications for initial provision of narrowband PCS service filed on FCC Form 175) shall be submitted for filing to: Federal Communications Commission, Washington, DC 20554, Attention: Narrowband PCS Processing Section. Applications requiring fees as set forth at Part 1, Subpart G of this chapter must be filed in accordance with Sec. 0.401(b).

(d) All correspondence or amendments concerning a submitted application shall clearly identify the name of the applicant, applicant identification number or Commission file number (if known) or station call sign of the application involved, and may be sent directly to the Common Carrier Bureau, Narrowband PCS Processing Section.

(e) Except as otherwise specified, all applications, amendments, correspondence, pleadings and forms (including FCC Form 175) shall be submitted on one original paper copy and with three microfiche copies, including exhibits and attachments thereto, and shall be signed as prescribed by Sec. 1.743. Filings of five pages or less are exempt from the requirement to submit on microfiche, as well as emergency filings like letters requesting special temporary authority. Those filing any amendments, correspondence, pleadings, and forms must simultaneously submit the original hard copy which must be stamped "original". In addition to the original hard copy, those filing pleadings, including pleadings under Section 1.2108 of the rules shall also submit 2 paper copies as provided in Sec. 1.51 of the rules.

(1) Microfiche copies. Each microfiche copy must be a copy of the signed original. Each microfiche copy shall be a 148mm X 105mm negative (clear transparent characters appearing on an opaque background) at 24X to 27X reduction for microfiche or microfiche jackets. One of the microfiche sets must be a silver halide camera master or a copy made on silver halide film such as Kodak Direct Duplicatory Film. The microfiche must be placed in paper microfiche envelopes and submitted in a B6 (125 mm x 176 mm) or 5 x 7.5 inch envelope. All applicants must leave Row "A" (the first row for page images) of the first fiche blank for in-house identification purposes.

(2) All applications and all amendments must have the following information printed on the mailing envelope, the microfiche envelope, and on the title area at the top of the microfiche:

- (i) The name of the applicant;
- (ii) The type of application (e.g. nationwide, regional, MTA, BTA, response channel);
- (iii) The month and year of the document;
- (iv) Name of the document;

- (v) File number, applicant identification number, and call sign, if assigned; and
- (vi) The identification number and date of the Public Notice announcing the auction in response to which the application was filed (if applicable).

Each microfiche copy of pleadings shall include:

- (A) The month and year of the document;
- (B) Name of the document;
- (C) Name of the filing party;
- (D) File number, applicant identification number, and call sign, if assigned;
- (E) The identification number and date of the Public Notice announcing the auction in response to which the application was filed (if applicable). Abbreviations may be used if they are easily understood.

**Sec. 24.407-8 [Reserved]**

**Sec. 24.409 Standard application forms and permissive changes or minor modifications for the narrowband Personal Communications Service.**

(a) Applications for the initial provision of narrowband PCS service must be filed on FCC Forms 175 and 175-S.

(b) Subsequent application by auction winners or non-mutually exclusive applicants for narrowband PCS radio station(s) under Part 24. FCC Form 401 ("Application for New or Modified Common Carrier Radio Station Under Part 22") shall be submitted by each auction winner for each narrowband PCS license applied for on FCC Form 175. In the event that mutual exclusivity does not exist between applicants filing FCC Form 175, the Commission will so inform the applicant and the applicant will also file FCC Form 401. Blanket licenses are granted for each market frequency block. Applications for individual sites are not needed and will not be accepted. See Section 24.11. Narrowband PCS applicants filing Form 401 need not complete Schedule B.

(c) Extensions of time and reinstatement. When a licensee cannot complete construction in accordance with the provisions of Sec. 24.103, a timely application for extension of time (FCC Form 489) must be filed.

(d) License for mobile subscriber station—These stations are considered to be associated